

COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION

Date/Time Stamp

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SECRETARY OF THE SENATE
PUBLIC RECORDS

2019 OCT 10 PM 1:01

Instructions: Use this form as a cover sheet for any paperwork you may need to submit to the **Office of Public Records** in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. **Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.**

SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING

Name of Traveler: Robert Moran

Employing Office/Committee: Committee on Health, Education, Labor, and Pensions

Travel Expenses Paid by (List all sources): Aspen Institute

Travel Date(s): August 6-8, 2019

Description/Title of Attached Forms: _____

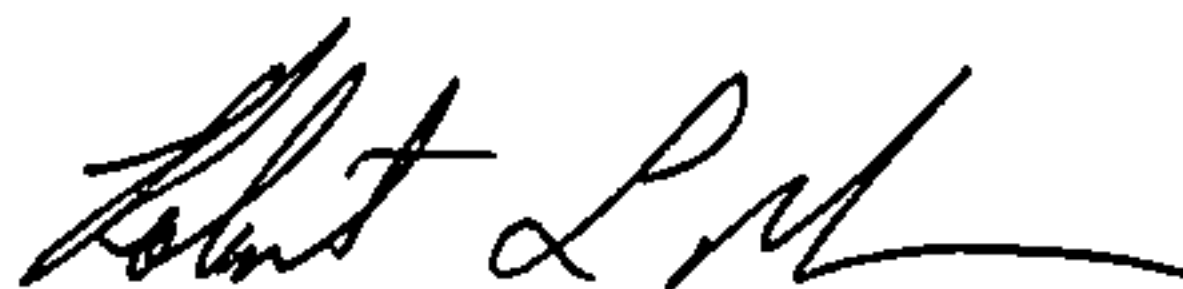
Private Sponsor Travel Certification Form and list of Senate invitees/attendees

Purpose of Amendment (describe the reason for amending original submission): _____

Resubmitting the Ethics approved certification form provided by the sponsor.

10/10/2019

(Date)



(Signature of Traveler)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors):
The Aspen Institute, Inc. (Education and Society Program)
2. Description of the trip: Aspen Institute Education and Society program sponsored convening for senior education staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
3. Dates of travel: August 6-8, 2019
4. Place of travel: Warrenton, VA
5. Name and title of Senate invitees: Please see attached roster
6. I *certify* that the trip fits one of the following categories:
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
— OR —
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
— AND —
☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
— AND —
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. USE ONLY IF YOU CHECKED QUESTION 6(B)

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

- ☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

- OR -

- ☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

- OR -

- ☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. USE ONLY IF YOU CHECKED QUESTION 9(B)

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and execution of the convening. (see continued response)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.

(see continued response)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The Aspen Institute Education and Society program has been conducting convenings for Congressional education staff for over twelve years.

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The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general (see continued response)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$58.00 (round trip mileage and tolls)	\$188.00 for two nights total	\$110.50	\$402.50 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

b) The trip is organized specifically with regard to Congressional staff participation in order to support their learning on implementation of the Every Student Succeeds Act.

18. Reason for selecting the location of the event or trip

The location is close to Washington, DC for easy staffer travel and allows faculty members (external experts brought in to support the retreat) to fly into DCA, Dulles or BWI and travel easily to the facility.

19. Name and location of hotel or other lodging facility:

Airlie House, 6809 Airlie Road, Warrenton, VA 20187

20. Reason(s) for selecting hotel or other lodging facility:

The meeting location has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Meals are 8/6/19 \$41.25 per day, 8/7/19 \$55.00 per day, 8/8/19 \$41.25 per day, which reflects the per diem limit

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Transportation is not provided; mileage will be reimbursed for participants' travel by personal car

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor:

Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street NW, Suite 700, Washington, DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM
SIGNATURE PAGE FOR ADDITIONAL SPONSOR
(to be completed by each additional sponsor)

I hereby *certify* that the information contained on pages 1-4 of the certification form and any accompanying addenda, all submitted in connection with the _____ trip
Dates of Travel (Month Day, Year)
to _____ is true, complete, and correct.
Place of Travel

Signature of Travel Sponsor: _____

Name and Title: _____

Name of Organization: _____

Address: _____

Telephone Number: _____

Fax Number: _____

E-mail Address: _____

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Instructions
(Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics (“Ethics Committee”) has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization’s prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

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- Example:** A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a *de minimis* level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

17. *Congressional participation:* For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be “reasonable” in accordance with Ethics Committee regulations.
18. *Reason for selecting the location of the event or trip:* The location of the trip *must be related to its purpose*. A brief but detailed description of the reason for the selection of the location must be provided.
19. *Name and location of hotel or other lodging facility:* Include the exact name and address of the hotel or other lodging facility.
20. *Reasons for selecting hotel or other lodging facility:* Provide an explanation of the sponsor’s rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
21. *Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel:* Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government *per diem* rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
22. *Describe the type and class of transportation being provided:* While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
23. *Expenses for recreational activity, alcohol, or entertainment:* The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
24. *List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:* Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
25. *Certification:* The trip sponsor *must* sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor *must* complete its own signature page and certify that the information contained in the form is true, complete, and correct.

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, August 6-8, 2019.

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) -- The Bill & Melinda Gates Foundation is not a sponsor of this trip and did not play a role in organizing, planning or conducting the trip. The Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network; however, the Foundation did not earmark any funding for this trip.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) – The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

To what extent and why are SEAs amending their approved ESSA plans and/or seeking waivers? How are states ensuring waivers improve equity in their ESSA plans?

What role has the U.S. Department of Education (ED) played during the first year of implementation, including ED's monitoring processes in states, and what are state and districts expectations for what they should be doing in year 2 and beyond?

3:15 – 3:30 PM

Break

3:30 – 5:00 PM

Session II: Innovation in Teaching & Learning, Accountability & Assessment

Virgel Hammonds, Chief Learning Officer, KnowledgeWorks

Leah Walker, Director, Office of Equity and Community Engagement, Virginia Department of Education

Cindy Ambrose, Deputy Superintendent, Charleston County School District

Tiffany Stanley, Chief of Staff to the State Superintendent of Public Instruction, Utah State Board of Education

Faculty will present for the first half of the session, followed by a facilitated discussion.

Faculty will detail how states and districts are currently using innovative approaches to teaching and learning, accountability and assessment, to increase equity and outcomes for all students. They will describe how innovation intersects with ESSA and other federal and state laws and policies and where there are challenges or additional opportunities.

Guiding Questions:

What teaching and learning innovations, such as personalized learning or course access are states and districts pursuing as a result of ESSA (and/or federal policy)?

Is Innovative Assessment Pilot enough to encouraging enough innovative assessment practices?

How do these innovations support ESSA's equity and outcome goals?

- *How are these models being evaluated for impact? Or being used to support and complement school improvement initiatives?*

5:00 – 5:15 PM

Taking stock: Staff reflections and feedback to guide remaining discussions

6:30 PM

Networking Reception with Expert Faculty

Pavilion Room

Staffers will have the opportunity to network with faculty during the reception.

7:00 – 8:30 PM

Dinner with Discussion of Earlier Sessions

Pavilion Room

Wednesday, August 7, 2019

All meeting sessions are in the Federal Room

7:30 – 8:30 AM

Breakfast

Airlie Room

8:30 – 8:35 PM

Group reflection on Day 1: What thoughts and questions were raised for further discussion?

Session III: Deep Dive on School Improvement

Gyimah Whitaker, Area Superintendent, Fulton County Schools

10:45 – 11:15 AM

Break and individual reflection

11:15 AM – 12:30 PM Session IV: School Improvement Reflection: Context and Implications

Tiffany Stanley, Chief of Staff to the State Superintendent of Public Instruction, Utah State Board of Education

Faculty will respond to issues raised in earlier sessions and respond to the questions staffers are most interested in learning more about.

Guiding Questions:

- *Is ESSA's theory of action around school improvement playing out as envisioned? Why or why not?*
 - *Are ATS and TSI identified schools sufficiently differentiated? Are underperforming subgroups being identified for improvement as required? How do we know?*
 - *How are SEAs leveraging ESSA's evidence requirements for interventions? What interventions are they using?*
- What role can/should ED play in promoting effective practices and evidence-based improvement strategies?*

12:30 – 1:30 PM

Lunch

Airlie Room

1:30 – 3:15 PM

Session V: Innovation and Federal Policy

Cindy Ambrose, Deputy Superintendent, Charleston County School District

Virgel Hammonds, Chief Learning Officer, KnowledgeWorks

Staff will go on a partner walk to address the following questions:

1. What innovation(s) did you expect to see as a result of ESSA and how has this played out in practice?
2. How can innovation be balanced with the equity guardrails required in the law?

All staff and faculty will engage in a full group discussion reflecting on discussions from the partner walk. This will be followed by a look at how states and districts are thinking about innovation in accountability and assessment.

Additional Guiding Questions:

How does innovation support ESSA's goals?

What is the role of ESSA relative to other state and/or district policies, practices, and/or funding streams in supporting innovation? How could these policies be more coherent and aligned?

Break

Session VI: Exploring Report Cards in the ESSA Era

Tiffany Stanley, Chief of Staff to the State Superintendent of Public Instruction, Utah State Board of Education

Which SEA or LEA report cards are especially well-designed? What about them seems most promising?

Taking stock: Staff reflections and feedback to guide remaining discussions

Staffers will have the opportunity to network with faculty during the reception.

Pavilion Room

All meeting sessions are in the Federal Room

Airlie Room

Staff reflections and feedback to guide remaining discussion

How can state and district leaders leverage innovative practices to support school improvement efforts? What are the technical and adaptive challenges to achieving this?

What is needed to ensure innovative practices comply with the law's requirements for evidence-based school improvement?

- *How tight/loose do SEAs and LEAs need to be to create space for innovation while meeting required timelines for improvement and outcomes?*

What role can Congress and ED play to ensure SEA and LEA leaders are using federal funds to support innovation, while ensuring those federal funds are used on evidence-based school improvement efforts?

10:20 – 10:30 AM	Break	
10:30 – 10:50 AM	Complete Retreat Evaluation	
10:50 – 11:20 AM	Final Observations from Expert Faculty	
11:20 – 11:45 PM	Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network	
12:00 – 1:00 PM	Lunch and Adjourn	Airlie Room

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Aspen Senior Congressional Education Staff Network Retreat

Implementing ESSA: School Improvement and Innovation

Airlie House
6809 Airlie Road
Warrenton, VA 20187
P: 540-347-1300

August 6-8, 2019

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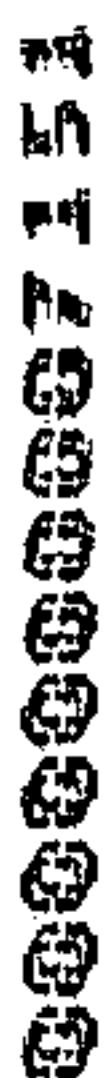
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**Unable to attend*

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